THE PHD PROGRAM

Handbook for Faculty and Students of the PhD Program in Design, Environment, and the Arts

Herberger Institute for Design and the Arts
Arizona State University

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INTRODUCTION

The Handbook provides important information about the PhD Program in Design, Environment, and the Arts in the Herberger Institute for Design and the Arts at Arizona State University, including a description of the program, governance, policies, procedures, and guidelines.

The information is provided in four distinct sections.

Section 1: General Information provides a general description of the PhD Program and the various academic units in the Herberger Institute for Design and the Arts that participate in the PhD Program.

Section 2: Governance provides an overview of policies and procedures that support the foundation for governance of the PhD Program. This section also provides a framework of procedures in which the governing individuals and committees use to operate and govern the PhD Program. The Governance section is particularly important because the PhD Program is unique from the typical academic units in the Herberger Institute. For example, the PhD Program does not retain its own faculty. Faculty members are invited from all schools in the Herberger Institute to contribute and participate in the PhD Program.

Section 3: Policies and Procedures for the PhD Program provides information about the policies and procedures in the PhD Program. This information is pertinent to all participants in the PhD Program, such as students, faculty and staff.

Section 4 of the PhD Manual describes the policies, procedures, and guidelines that are intended for PhD students.

The Handbook serves to inform the faculty, PhD students, and staff members of the operational procedures of the PhD program. However, readers are strongly advised that the Arizona State University Graduate Catalog takes precedence over this manual. In that same manner, PhD students are required to become familiar with University policies concerning student conduct as described in the Graduate Catalog.

Kenneth Brooks, FASLA, FCELA, PLA
Director and Professor
SECTION 1 – GENERAL INFORMATION

THE PhD PROGRAM

The Herberger Institute for Design and the Arts offers an individualized institute-wide interdisciplinary program leading to the Doctor of Philosophy in Design, Environment, and the Arts. It integrates graduate courses and faculty research expertise from a variety of academic units. At present, these units include The Design School; the School of Art; and the Department of Applied Science (Polytechnic Campus).

The PhD Program also complements interdisciplinary research from other disciplines within the university. Broad in scope, the program involves interdisciplinary research interests at both the micro- and macro-scales of design, environment and the arts. The program provides research experience for students wishing to pursue careers in academe, as well as industry.

The PhD Program prepares individuals to participate in industry as members of interdisciplinary design and planning teams; in addition to preparing individuals that wish to teach in the design, environment and the arts fields.

Faculty from disciplines outside of the Institute can also participate in the PhD Program when deemed appropriate to the interdisciplinary nature of the student's research interest. The PhD Program currently has academic partnerships with the following departments: Department of Applied Science, School of Human Evolution and Social Change, the School of International Letters and Cultures, the School of Historical, Philosophical and Religious Studies, the School of Geographical Sciences and Urban Planning, and the School of Sustainability.

Areas
The PhD in Design, Environment, and the Arts offers the following areas of study. Each one is a reflection of research and teaching expertise of participating faculty members.

- **Design**: Micro-scale issues in the designed environment, including the study of architecture, building science, industrial design, interior design, and landscape architecture, urban design and visual communication design.

- **History, Theory, and Criticism**: Focuses on the theoretical dimensions in areas of architectural and design history or art history including critical discourse in the design or art disciplines. The program offers classes and research across many cultures and time periods, geographies, and multiple approaches and methodologies within the art history program.

- **Design and Health**: Focuses on the integration of evidence-based design, sustainable science, and best practices benchmarks when planning and developing environments that contribute to improvements in human health and well-being. This multidisciplinary concentration integrates the principles of medical and clinical innovations, interior architecture, human health services, communication studies, architecture, and behavioral and engineering sciences.

Mission of the Program
The PhD Program prepares students to become public intellectuals and transformative-practitioners in the shaping of the environment at all scales—extending from the design of cities, buildings, landscapes, to the design of interiors, products, and graphics.
Goals of the Program
The PhD Program has two goals:

- To educate individuals who will pursue academic paths or assume leadership roles in professional planning and design practices, the public sector, or the non-profit sector.
- To educate individuals who will emphasize sustainability, urban and suburban revitalization, desert cities, community building, design and experimental media, environmental and entrepreneurship stewardship, and the arts.

Strengths of the Program
The strengths of the PhD Program include:

- An interdisciplinary structure that allows students to design their own program of study from courses offered within the Institute, as well as a variety of applicable courses taught throughout the university.
- A diverse population of students from many corners of the world, from Asia, Africa, Europe, the Middle East to North America and South America.
- A diverse academic background that includes disciplines such as: architecture, landscape architecture, planning, art history, environmental design, energy studies, building design, engineering, biology, industrial design, interior design, visual communication design, healthcare, environmental resources, the arts, arts, media, and engineering, history, religious studies, languages and literatures, and philosophy.
- A structure that accommodates mid-career professionals.

Areas of Regional, National and International Prominence
The PhD Program has become known as:

- A place to engage in socially-embedded, outcome-oriented research.
- A program that is committed to interdisciplinary research and practice, to environmental stewardship, and to urban design.
- An ideal laboratory for exploring a wide range of research topics, especially in the context of the desert metropolis in which ASU is located.
- PhD students have received many prestigious fellowships including Fulbright, USAID/TIES, CONACYT, among others.
- The program has graduated 41 students who are now professors, deans, city officials, consultants, writers, and project managers that direct assignments on both the national and international scene.

THE HERBERGER INSTITUTE FOR DESIGN AND THE ARTS
The Herberger Institute for Design and the Arts is committed to leadership in developing the highest level of scholarship and understanding of the disciplines it represents; and to critically assess the relationships among those and related disciplines. The academic units most closely tied to the PhD Program in the Institute and their research interests are:

The Design School
*Architecture*: Research interests of faculty include: architectural design methodology, solar architecture design, energy performance in buildings, architectural computing and graphics, facilities development and management, environments for aging, housing, urban design, building technology, environmental analysis and programming, passive cooling and heating, eco-techniques, arid region building and systems design, and architectural history.

*Industrial Design*: Research interests of faculty include: problem solving strategies; aesthetic, political, economic, and social theories in design; design history; methodology, theory, and criticism; methods as found in material culture and human expression; theories and methods of human factors and ergonomics; design production, planning, and marketing; design and micro-enterprises; computer imaging, visualization, analysis, and perception; human-machine interface design; product semantics, appropriate technology, and environmental issues; aging and design; design education theory.
*Interior Design*: Research interests of faculty include: problem solving strategies; problem definition; aesthetic, political, economic, and social theories in design; design history, methodology, theory, and criticism; acoustics and lighting design; computer imaging, visualization, analysis, and perception; corporate, institutional, and healthcare design; post-occupancy evaluation; aging and design; public welfare and safety; facility management methodology; design education theory.

*Landscape Architecture*: Research interests of faculty include: landscape ecological planning, public land management, the conservation of renewable and nonrenewable resources, the management of solid and hazardous wastes, environmental impact assessment, environmental law, riparian and wetlands protection, and land-use planning.

*Visual Communication Design*: Research interests of faculty include: environmental graphics and design education theory.

**The School of Art**
Internationally-recognized faculty offer classes and conduct research across many cultures and time periods, geographies, and multiple approaches and methodologies within the art history program. Individual faculty research focus areas are defined within the School of Art web site: [http://art.asu.edu/research/faculty/](http://art.asu.edu/research/faculty/).

**Department of Applied Sciences**
(Polytechnic campus): Research interests of faculty include: applications of geographic information systems to resource management; monitoring of ecological change; wildlife habitat ecology; vegetation dynamics; fire ecology; soil ecology and ecosystem restoration; range ecology studies from shrub control and hydrologic research in Arizona chaparral to the use of microcomputers in field data acquisition and the effects of power plant emission on vegetation; relationships between both livestock and wildlife and their environments.

**INSTITUTE FACILITIES**
The Herberger Institute for Design and the Arts has state-of-the-art facilities, including classrooms, studios, laboratories, library, and offices, situated in two interconnected buildings on the Tempe campus. The important facilities are:

**PhD Student Office**
PhD students have access to office space located in the Design South building (DS 201A and 201B). The office has desk space as well as computers for student use. There is also a lounge area and a small library. Students have access to this room 24/7. A telephone is made available to PhD students.

Guidelines for the use of the office are:
- The student office is to be used by PhD students only. The PhD Student Office has two rooms, DS 201A and 201B. The rooms have designated work stations for the students. It is encouraged that students utilize this space as needed.
- It is the intention of the PhD Program to create a professional work environment for the PhD students. All students are expected to cooperate in the maintenance of a tidy, professional, and clean office.
- Workspace is limited and may need to be shared. Students are to negotiate the work space area amongst themselves.
- Security is of the utmost importance. The PhD office access is granted each academic year via the Isaac system. Please make sure you have a current and active Sun Card.
- The doors to both rooms should not be propped open at any time. Report security problems immediately to the Facilities Coordinator via email designfs@asu.edu.
- The PhD Program does provide a limited amount of supplies, including paper. Printing is for
academic use only; individuals who are printing personal materials will lose office privileges. Supplies will be replaced as the budget allows, and thus need to be used by everyone wisely.

- PhD students who are also Teaching Associates have been allocated workspace in the PhD Student Office.
- It is expected that all students respect the personal property of their fellow students. Do not use books or other items that do not belong to you unless you have received permission.
- Furniture from the office may not be moved to the balcony area.
- For safety reasons, cooking apparatus, other than the microwave and refrigerator already in the office, are not permitted (i.e., hot plates are not allowed).
- Food and drink are not allowed at the computer workstations. However, students may eat at their personal workspace, providing utensils and trash are disposed of properly. Large trash receptacles are provided in each of the two rooms.
- Artwork for walls must be in good taste. It is best that items hung on walls should be light in weight (i.e., posters) and should not require putting large nails into the walls.
- Storage space is limited. Therefore, it will be distributed based on two factors: the number of students using the office; and the individual need for space, i.e., first-year students generally need less space.
- Protect the computer equipment as if it were your own. Turn off the computer monitors when you complete your work. Report equipment problems to the Institute’s System Support at 480-965-6911 or email hidacs@asu.edu.
- If you are the last person in the office, please turn off the lights as you leave. Also, please make sure both doors are locked and securely closed.

Library
The Design Library is a branch of the ASU library system. It is the primary repository on this campus for materials on architecture, landscape architecture, industrial design, interior design, and visual communication design. The part of city planning that is urban design is in this library, containing selected books on land-use planning, housing, and other topics. The solar energy collection, which includes the collection of the International Solar Energy Society, has recently been moved from the Noble Science Library to the Institute library. Related materials for many of the Institute’s disciplines may not be found in the Institute’s library, but may reside elsewhere in the more-than-two-million-volume library system. Please consult with a librarian if you require assistance. The library is located on the ground floor of the Design North building (DN).

Computing Facilities
The Herberger Institute has been at the national forefront for the utilization of computers in design education. Our expertise in this area enhances the ability for the Institute to offer coursework that is accessible to all disciplines and offer involvement in research areas such as: housing, human factors, solar energy and conservation, and urban design. While these are issues of national import, they are particularly significant to the State of Arizona with its arid climate, growing urbanization, and large number of retirement communities.

Specific to the PhD Student Offices, there are computers, a scanner and a printer for use.

Solar Laboratory, Solar Deck, and Sky Dome
The Design School has been recognized nationally as a research center for active and passive solar heating and cooling for many years. The interior solar testing laboratory (450 sq. ft.), the exterior deck (2,800 sq. ft.), and the sky platform (350 sq. ft.) are located on the roof of the Design North building (DN).

The Gallery of Design
The Gallery of Design is one of eight university galleries and museums. It provides space (1,200 sq. ft.) for traveling exhibitions, as well as exhibitions of student and faculty work. It is located on the ground floor of the Design South building (DS).
**Material Resource Facility**
The Material Resource Facility is located in DN 272. It is the preeminent university facility of its kind. It features a hands-on specifications laboratory for the management and maintenance of design materials representing current resource and product information, in addition to research-related data focused on products and building materials.

**Prototype Modeling Laboratory**
The prototype modeling laboratory (5,000 sq. ft.) contains equipment for wood, plastic, and metal work. It is supervised under the guidance of a skilled professional. The laboratory enables students to develop a more in-depth understanding of the practical and technical aspects of materials in relation to three-dimensional design. Facilities are available for building models, precision components, mock-ups, experimental apparatus, and full-scale construction assemblies. The laboratory is located on the lower floor of the Design North building (DN).
SECTION 2 – GOVERNANCE OF THE PHD PROGRAM

The PhD Program is a cross-Institute program shared by The Design School, and The School of Art; in the Herberger Institute for Design and the Arts and the Department of Applied Biology at ASU Polytechnic. It is neither a school nor a department in the academic sense of the words. Furthermore, the PhD Program does not retain its own faculty. As a result, its governance is shared among both units, via the appointment of a Director and an Executive Committee.

THE DIRECTOR

Administration of the program is the responsibility of the Director of the PhD Program and the PhD Executive Committee.

The Director is a faculty member of the Herberger Institute and is appointed by the Dean of the Herberger Institute upon the recommendation of the PhD Executive Committee and the Directors of other units in the Institute. The Director is responsible to the Director of The Design School.

The Director and the PhD Executive Committee collaborate together to implement the mission, goals, and development of the PhD program. The Director acts as liaison between the PhD Program and the Graduate College on all program matters, and also represents the program for official purposes in the University, as well as the community. The Director participates in Institute-level strategic planning, in addition to working closely with the PhD Executive Committee of the program to evolve curricula, recruitment materials, organization of meetings, and presides at the meetings of the PhD Executive Committee. The Director also enacts policies and procedures established by the PhD Executive Committee such as: implementing the decisions approved by the PhD Executive Committee, managing an annual budget, establishing catalog copy and scheduling course offerings in cooperation with the academic units and ASU scheduling, and supervising staff and graduate teaching associates assigned to the program. The Director also actively participates in instruction of at least one of the two PhD core courses, depending on expertise, and shall perform other duties as required for the position.

THE PHD EXECUTIVE COMMITTEE

The PhD Executive Committee is comprised of the Director of the PhD program (who chairs the PhD Executive Committee) and representatives from each of the Schools (see “The Faculty Members of the PhD Executive Committee,” below), the Graduate Coordinator of the PhD program, and one student representative (see “The Student Representative,” below).

The PhD Executive Committee prepares and performs a specific set of policies and procedures for administration of the program. The members of the PhD Executive Committee vote on all program business matters, which include program policies and procedures, and the review of qualifications of faculty who wish to chair dissertation committees. The PhD Executive Committee also organizes and directs the application review process for annual admission to the program, the distribution of teaching associateships, and financial aid for students in the program. The PhD Executive Committee also oversees such functions as: the students’ progress and academic records; the delivery of the PhD core courses, and candidate evaluations; including comprehensive examinations and final oral examinations in defense of the dissertation.

THE FACULTY MEMBERS OF THE PHD EXECUTIVE COMMITTEE

The faculty members selected to serve on the PhD Executive Committee will have demonstrated a commitment to doctoral education and represent the research and scholarly scope of the PhD program. The PhD Executive Committee members serve in four-year renewable terms.

When current terms expire, new committee members are nominated by the PhD Executive Committee, who work in consultation with the Executive Dean of the Institute, and are approved by the Dean of the Graduate College.
THE STUDENT REPRESENTATIVE
The PhD students elect a student representative at the beginning of each academic year. First year students are not eligible for election. The student member serves a one-year term and may be re-elected once. The representative is enabled to act as the liaison between the Executive Committee and the students. The student representative is a voting member. However, the student representative is not permitted to participate in discussions, vote on issues having to do with admissions, student funding, and other matters related to individual students, such as satisfactory progress, appeals, etc.

PhD EXECUTIVE COMMITTEE MEETINGS AND QUORUM: The frequency of committee meetings is contingent upon the amount of business to be transacted. The minimum number of meetings is two for each semester, excluding the summer school sessions. Special meetings of the Executive Committee may be called from time to time, or as required. The Director or any Executive Committee member may request a special meeting. Timely notices will be provided for all meetings. For business that needs to be expedited, information is routed to each member of the committee with final action taken by the Director on behalf of the committee. In all cases, no official action is taken during meetings that do not have a simple majority vote of the voting members of the Executive Committee. A quorum constitutes a majority of the PhD Executive Committee. The Director of the Executive Committee arranges for recording the minutes of the meetings. Minutes will be distributed to the Executive Committee in a timely manner.

Standing or Ad-Hoc Committees: Occasionally the Director or the PhD Executive Committee establishes standing or ad-hoc subcommittees, as required to conduct the business of the program. When a subcommittee is established, a clear written charge is developed to guide the work.

Parliamentary Procedures: Robert's Rules of Order (Newly Revised) will be the parliamentary authority that governs the Executive Committee's business meetings; in all cases where applicable and where they are not inconsistent with these policies and procedures, or any special rules of order the Executive Committee may adopt.
SECTION 3 – POLICIES AND PROCEDURES

PROGRESSING THROUGH THE PROGRAM
The progression through the PhD Program is like a journey. It has well-established milestones and targets. Although the PhD journey may first appear to be complex and fraught with speed bumps of one kind or another, there is really no need for surprises.

To better understand the journey, the following map (Figure 1.1) is provided. It includes the specific milestones of a PhD on a year-by-year basis. The map is followed by more detailed, year-by-year information, as well as guidelines for meeting the requirements. Please keep in mind that the journey provided is a model of the expected progress made by many PhD students. Journeys may vary depending on the nature of individual cases.

Figure 1.1

YEAR 1
Year 1 of the PhD Program is a year when most PhD students discover the world of independent research. The ‘map’ provides a rather specific route during the first year. Students are expected to complete their course work, in addition to developing a working relationship with their mentor. A candidate evaluation occurs at the end of the year.

Course Work: Most PhD students enroll in a minimum of 12 credit hours of course work in Year 1, including EPD 700 and EPD 710. Typically, the 12 credit hours are structured with 6 credit hours in the fall semester and 6 credit hours in the spring semester. It is important to note that unless a student has a TA or RA position, 9 credit hours per semester is considered full-time status for graduate students. See Appendix “A” for more information on graduate course work and check sheets for each individual area.

Mentor: Students should make a point of communicating with their mentor as early as possible in the first semester. The mentor is assigned at the time of admission. Establishing a strong and collaborative relationship with a mentor provides invaluable support as a student successfully navigates the PhD journey. See Appendix “B” for more information about mentors.

Preliminary Candidate Evaluation: Performance on the preliminary candidate evaluation will serve as a guide to the student’s mentor in the task of counseling the student in developing a program of study. Before the end of the first academic semester of course work, the students’ mentors and the Director conduct a preliminary evaluation of the student. The evaluation is based on the students’ program check sheet, a progress evaluation by the mentor, and an informal meeting with the program Director.
The evaluation is directed toward one of the following areas:

1. Design;
2. History, Theory, and Criticism
3. Design and Health

Plan of Study: Students entering the PhD program are required to submit a Plan of Study (POS) no later than the end of the second semester. The POS will consist of a minimum of 54 hours of graduate work beyond the master's degree: six credit hours will be in required courses, 15 credit hours in the area of concentration, nine credit hours in the area of specialization, and 24 credit hours in research and dissertation. Students admitted to the program without a master's degree must complete a minimum of 84 hours of graduate work, 30 credits of which must be at the masters level. The POS must be approved and on file before the comprehensive examination can be scheduled, and should be completed at the end of the second semester. Registration will be blocked if the POS is not filed. See Appendix "C" for more details about the Program of Study.

YEAR 2
Year 2 of the PhD Program begins to provide a glimpse of a more defined and unique path for the PhD students. Students should now have a clearer sense of the research topic, as well as a comfortable working relationship with a mentor. In certain cases, students may already have committee members in place. Furthermore, the course work will most likely be completed at the end of Year 2 for students entering with an accepted master’s degree. An additional year or more of coursework will be required for students admitted without an accepted master’s degree.

Dissertation Committee: Every student in the PhD Program assembles a committee that is comprised of a minimum of three faculty members. This committee includes a prospective mentor that will be responsible for approving and monitoring the student's program of study. Additionally, this committee is responsible for the preparation and evaluation of the comprehensive examination and the defense of the dissertation. The members of a student’s Dissertation Committee should be in place by the end of Year 2.

Changing Mentors or Dissertation Committee Members: If a student wishes to change mentors, co-mentors, or members of her/his dissertation committee, s/he should first bring this to the attention of the Director of the PhD Program. A student should refrain from approaching faculty members (mentors or non-mentors) about changing mentors before speaking to the Director.

YEAR 3
By Year 3, a light seems to be appearing at the end of the PhD tunnel. The comprehensive examination is a major hurdle, but is manageable with the solid advice that the student receives from his or her mentor and committee members. From that point, the student progresses to candidacy, and the world of dissertation research is now in sight.

Comprehensive Examination: The comprehensive examination is the first significant test in the PhD journey. It occurs upon the completion of coursework as outlined in the Program of Study, but prior to admission to candidacy and the start of dissertation research. The “comps”—as the examination is commonly called—is a written examination on the student’s chosen areas of knowledge, which is followed by an oral defense. The comprehensive examination normally occurs in the fifth semester. Please see Appendix “D” for more detailed information about the comprehensive examination.

Dissertation Prospectus: All doctoral degree programs that require students to complete a dissertation must require students to complete a dissertation proposal/prospectus. Please see Appendix “E” for more detailed information about the prospectus defense.
Admission to Candidacy: Prior to admission to candidacy, the student must complete the following steps: successfully defend the dissertation prospectus, which outlines the proposed dissertation prospectus; pass all aspects of the comprehensive exam (written and oral); and have an approved and current Program of Study on file with the Ph.D. program and the Graduate College. Once the Director of the PhD Program approves the recommendation for candidacy, it is forwarded to the Graduate College. The Graduation Office will notify the student in writing of admission to candidacy and provide details about any remaining requirements and proposed graduation date. Please refer to Appendix “E” for more details.

YEAR 4/5
By Year 4, the comprehensive examination and admission to candidacy are requirements that have been met. In many respects, the exciting and most satisfying part of the journey is just ahead—dissertation research. The research stage of the PhD program can be academically satisfying. However, it can also be very demanding since it is most likely new and unique subject material. You will establish and pursue your own path.

Dissertation: The dissertation consists of a fully-documented written analysis of a research topic, which is original in nature and extends the knowledge and/or theoretical framework of the field. The research must demonstrate the student’s creativity and competence in independent research. After completion of the dissertation, each candidate submits a final copy for review by the dissertation committee. Upon approval by the committee, and at least ten working days before the defense, the final approved copy is submitted to Student Academic Services office in the Graduate College for format review. At least 15 working days prior, students must submit paperwork to the PhD program to schedule the defense at the program level and then submit additional scheduling paperwork to the Graduate College 10 working days in advance. See Appendix “F” for more detailed information.

Final Examination: The dissertation is the written component of the student’s journey in independent research. There is an oral component as well, which is called the oral examination in defense of the dissertation. This is a public forum that is scheduled by the student after consulting the previously assigned dissertation committee. The oral defense must be scheduled with approval from the Dean of the Graduate College and conducted by the student's dissertation committee. An abstract of the dissertation must be provided to the Graduate Coordinator at least 15 working days prior to the oral defense along with the form to request to schedule the defense. It is the student’s responsibility to confirm the time for all committee members to be present, secure the room number for the specified time and date, as well as reserving any additional media equipment necessary. Modifications to the time, date, or place for a defense need to be made at least three (3) business working days in advance. If not, the defense may be entirely cancelled. A candidate must pass the final dissertation oral examination within five years after completing the comprehensive examination. See Appendix “G” for more detailed information.
ACADEMIC STANDARDS IN THE PHD PROGRAM

Academic standards and evaluation exist at several levels:

Annual Student Evaluation
Current students in the program will receive an evaluation annually. This evaluation usually takes place in the month of April. Students will then submit an updated status check sheet to their mentor. The status check sheet must include proposed research; progress toward dissertation; a list of goals accomplished during the past academic year; and projected goals for the upcoming academic year. Students may append other pertinent information of importance, which can include: on- and off-campus seminars attended; presentations made; publications (submitted and printed); and grants received. After reviewing these materials, the mentor will complete an evaluation, which is sent to the Director.

Students must meet the minimum Graduate College requirements. However, program standards may exceed these requirements. For example, students are expected to:

- Have all grades in graduate courses 3.0 GPA or greater.
- Maintain a cumulative GPA of 3.0 or greater.
- Have made sufficient progress in their research projects.
- Have attended or presented papers at seminars/meetings.
- Have accomplished predetermined goals from the previous year.
- Set realistic goals for the upcoming academic year.
- Submit their POS no later than the start of their third semester in the program.
- Complete their written and oral comprehensive exams no later than their third year and prior to the beginning of their fourth year.
- Successfully defend their dissertation Prospectus in their third year.
- Have all coursework complete by the end of their third year.

Students who receive poor evaluations from their mentor, or who are below Graduate College requirements or program standards are placed on "probationary" status. Students with a "probationary" classification, or those with a "specific requirements" status (i.e., less severe than "probationary" status), are required to work with their mentors to produce a "timetable," and may be prevented from registration until the timetable has been approved by the mentor and PhD Director. This timetable will contain specific strategies, which are designed to overcome the deficiencies that were previously noted in the evaluation from the Director. The timetable must be submitted for the Director’s approval within four weeks from the receipt of the evaluation. Failure to produce a timetable by the required time period, or failure to overcome the deficiencies noted in the evaluation by a time set by the Director, will result in a recommendation to the Dean of the Graduate College that the student be dismissed from the program. At this point, a copy of the agreement is placed in the student’s academic file.

Satisfactory Progress
It is expected that students in the program establish a good record of academic achievement and progress through the program in a timely manner. Students deemed not to be making satisfactory progress, will be notified by the PhD Executive Committee or PhD Director.

Student Evaluation of the Program
At the time of the annual student evaluation, students in the program are invited to submit a written evaluation of the program. This evaluation can be anonymous and is submitted to the Director. The concerns raised by the students are presented at a formal meeting of the PhD Executive Committee.
Student Appeals
What about the appeal regarding academic progress?

Students who wish to appeal a grade must follow procedures that are described in the Graduate Catalog; section “Graduate Studies at the Tempe campus and the Polytechnic campus”, subsection titled "University Policy for Student Appeal Procedures on Grades."

In the same section, the Graduate Catalog contains a sub-section about the "Policies and Procedures of the Graduate Council Appeals Board." This sub-section identifies steps that must be taken if resolution cannot be reached at the Institute level.

Before a student files a formal appeal with the Institute about policies or procedures of the PhD Program, they should follow these steps:

- Student should first discuss the situation with the instructor of the class in question.
- Student should discuss the situation with their mentor.
- If the matter cannot be resolved with the mentor, the student should bring the matter to the attention of the Director of the program.
- If the matter cannot be resolved with the Director, the Director will bring the matter to the attention of the PhD Executive Committee. Before doing so, the Director may discuss the matter with the mentor and/or dissertation committee. The student may be asked to submit a written appeal to the PhD Executive Committee at this point.
- If the student is not satisfied with the recommendation of the PhD Executive Committee, the student can then request to meet with the Associate Dean of the Herberger Institute.
- If the Associate Dean is unable to resolve the matter, the student will then be advised to meet with the Dean of the Herberger Institute.
- If the Dean is unable to resolve the matter, the student will then be advised to meet with the Associate Dean of the Graduate College.

Ombudspersons
If a student is unclear of the particular nature of their complaint and/or do not feel comfortable with discussing the complaint with their mentor or the program office, s/he may contact an ombudsperson on campus. A list of ombudspersons is available at the following website: http://provost.asu.edu/committees/oc. If the student cannot reach the appropriate ombudsperson for the Institute or area of concern, s/he may contact Student Life at 480-965-6547, in order to find an appropriate contact.
SECTION 4 – GENERAL POLICIES AND GUIDELINES FOR PhD STUDENTS

Policies and guidelines for PhD students are established by several university groups. University-wide policies and minimum requirements are set by the Graduate College. Additional Institute requirements are established by the PhD Executive Committee and the core faculty. Although minimum expectations are similar, students cannot anticipate that all requirements will be identical for every doctoral student. Graduate College policies and requirements are provided in the ASU Graduate Catalog and revised each year.

Doctoral students are responsible for being aware of the policies in the catalog on which they were admitted to the institution and for the management of their own doctorate program.

DOCTORAL STUDENT/FACULTY AUTHORSHIP AND PATENT RIGHTS

Because there is no policy available at either the Graduate College or the Herberger Institute for Design and the Arts, the following is offered as a general guideline for which the PhD student can begin discussions with his/her mentor for mutual agreement.

“Co-authorship is acceptable and commonplace in doctoral programs, especially those involving grants and quantitative research. The first author to be listed should be the major researcher. In the case of a thesis project, this would normally be the student, except in some unusual situation. In the case of a grant project, however, the faculty member should be listed first, presuming that he or she created the concept, wrote the grant, and is listed as the primary researcher on the grant application. Here the student may do much or all of the routine data collection, but the conception, research design, and direction comes from the mentor. A possible exception would arise if during the experiment the doctoral student made an important original discovery or provided the final interpretation, explanation or conclusion that greatly impacted the conclusions.”

Donald Bush, PhD, Professor Emeritus, ASU School of Design, 1990

CONTINUOUS ENROLLMENT

Per policy of the Graduate College “doctoral students must be registered for a minimum of one credit hour (not audit) during all phases of their graduate education. This includes periods when they are engaged in research, working on or defending dissertations, taking comprehensive exams, or in any other way using university facilities or faculty time including the term in which they graduate.” A student who has withdrawn must then apply for re-admission to the program. Re-admission to the program will be at the discretion of the Executive Committee and is not guaranteed.

According to the Graduate College, “students planning to discontinue enrollment for a semester or more must request approval for a leave of absence. Student may petition the Graduate College for a leave of absence for a maximum of two semesters during their entire program. A petition for a leave of absence, endorsed by the members of the student’s supervisory committee and the head of the academic unit, must be approved by the Graduate College Dean. This request must be filed and approved before the anticipated absence.

An approved leave of absence will enable students to re-enter their program without re-applying to the university. Students who do not enroll for a fall or spring semester without an approved leave of absence by the Graduate College are considered withdrawn from the university under the assumption that they have decided to discontinue their program. Students removed for this reason may reapply for admission to resume their degree program; the application will be considered along with all other new applications to the degree program.” If the student reapplicant for admission, s/he will be treated as a new student; thus, previous coursework and milestones
completed have become null and void. Should the student wish to petition to use previous coursework or milestones (i.e., comprehensive exams) s/he must petition the Graduate College. It is not guaranteed that the student will be readmitted nor that should readmission occur, that previous requirements met will be accepted.

Per Graduate College policy, “a student on leave is not required to pay fees, but in turn is not permitted to place any demands on university faculty or use any university resources.”

**ACADEMIC INTEGRITY**

It is expected that students in the PhD Program set an exemplary example of academic integrity for the undergraduate and graduate students in the Institute. This means: being in class early; assuming a leadership role in the classroom; being engaged in classroom discussion; exercising scholarly discipline; turn in all assignments on or before deadlines; and setting and achieving high personal goals. Provost Office guidelines about Academic Integrity can be found at [http://provost.asu.edu/academicintegrity](http://provost.asu.edu/academicintegrity) and Graduate College guidelines about Academic Integrity can be found at [http://graduate.asu.edu/beintheknow](http://graduate.asu.edu/beintheknow). Graduate students are responsible for understanding, promoting, and adhering to standards of the Herberger Institute, Graduate College, and University academic integrity from the time of application. Should evidence be found of academic dishonesty, including on the application for admission, recommendation for withdrawal from the PhD Program will be made to the Graduate College. Academic dishonesty will not be tolerated under any circumstances.

**CONCURRENT DEGREE PROGRAMS**

A student wishing to seek a concurrent degree while pursuing their PhD in Design, Environment, and the Arts must request authorization from her/his dissertation committee, the Chair of the other degree program, and the Director of the PhD Program. The following conditions apply:

- A student must be in good academic standing at the Graduate College, Institute, and Program levels.
- A student must be at candidacy before s/he can petition for the concurrent degree.
- The request must be submitted prior to being accepted into the concurrent degree.
- The Graduate College makes the final decision.

**CORE FACULTY STATUS**

The core faculty in the PhD Program in Design, Environment, and the Arts includes current faculty members who have a doctorate degree and who hold a tenured or tenure-track faculty positions. To be considered for core status, a faculty member must self-nominate, be nominated by an Institute faculty member, or by a school director. The PhD Executive Committee recommends to the Associate Dean of the Institute that the applicant be approved. After consultation with the Dean of the Graduate College, the Associate Dean of the Institute approves or disapproves the recommendation of the PhD Executive Committee. The applicant officially becomes a member of the PhD Program core faculty after approval by the Dean. Core faculty members may lose this status if they no longer occupy a tenured or tenure-track faculty position at Arizona State University. A listing of PhD core faculty can be found on the PhD webpage.

**NON-CORE FACULTY STATUS**

A non-core faculty is a faculty member who may partially meet the criteria for approval of core faculty and is seen as a major contributor in guiding the dissertation research of a particular student. For example, the non-core faculty member may not have a doctorate degree. Non-core faculty status is granted on a case-by-case basis. Faculty from outside the Institute may also be granted non-core status, and interdisciplinary collaborations are encouraged.

The PhD Executive Committee recommends to the Associate Dean of the Institute that the applicant be approved as non-core faculty. After consultation with the Dean of the Graduate College, the Associate Dean of the Herberger Institute approves or disapproves the Executive Committee’s recommendation. The applicant officially becomes a non-core member of the faculty after approval by the Associate Dean of the Herberger Institute.
CONTACTS FOR PHD PROGRAM

PhD Director: Kenneth Brooks, The Design School
Office: CDN 72
Email: Kenneth.Brooks@asu.edu

Claudia Brown, School of Art
Professor
Office: MH216
Email: Claudia.Brown@asu.edu

Courtney Carroll, The Design School
Business Operations Manager Sr.
Office: CDN 162
Email: courtney.carroll@asu.edu

Corie Cisco, The Design School
Graduate Coordinator
Office: CDN 162H
Email: corie.cisco@asu.edu

Deborah R. Burns, Ph.D., School of Art
Graduate Program Coordinator, Sr.
Office: Art 151B
Email: deborah.burns@asu.edu

Program Website:
https://design.asu.edu/degree-programs/design-environment-and-arts-design-phd

Current PhD Students:
https://design.asu.edu/resources/students/phd-design-environment-arts#students

Graduate College
Contact Information

Phone: (480) 965-3521
Email: grad-ges@asu.edu
Website: http://graduate.asu.edu

Interdisciplinary Building,
B Wing, Room 285

Andrew N. Webber, Vice Provost for Graduate Education

Eric Wertheimer, Associate Vice Provost

Graduate Education Services

- Dissertation Format Approval
- Petitions
- Program of Study
**Additional Academic Resources**
Listed below are several units at the university that provide additional academic assistance and/or services to students. All phone numbers correspond to the 480 area code.

<table>
<thead>
<tr>
<th>Resource Unit</th>
<th>Phone</th>
<th>Services Offered</th>
<th>Website</th>
</tr>
</thead>
<tbody>
<tr>
<td>International Student Office</td>
<td>965-7451</td>
<td>ESL programs and other services</td>
<td><a href="https://global.asu.edu/">https://global.asu.edu/</a></td>
</tr>
<tr>
<td>Intensive English Program (IEP)</td>
<td>965-2376</td>
<td>15 week non-credit course emphasizing skills in listening and speaking</td>
<td><a href="https://learnenglish.asu.edu/">https://learnenglish.asu.edu/</a></td>
</tr>
<tr>
<td>Writing Center</td>
<td>965-6254</td>
<td>Will evaluate written materials</td>
<td><a href="https://tutoring.asu.edu/graduate">https://tutoring.asu.edu/graduate</a></td>
</tr>
<tr>
<td>Learning Support Services</td>
<td>965-6254</td>
<td>Tutoring, advising, learning skills, other services</td>
<td><a href="https://tutoring.asu.edu/">https://tutoring.asu.edu/</a></td>
</tr>
<tr>
<td>Career Services</td>
<td>965-2350</td>
<td>Provides career counseling/workshops</td>
<td><a href="http://www.asu.edu/studentaffairs/career/">http://www.asu.edu/studentaffairs/career/</a></td>
</tr>
</tbody>
</table>

**MISCELLANEOUS ASSISTANCE AND SERVICES**

**Graduate Teaching Associateships**
It has been the recent practice of the PhD program to only admit students who can be awarded a Graduate Teaching Assistantship (TA) or who have external financial support for their PhD studies upon admission. The associateship can be renewed for a total of three years at a .25 position, depending on satisfactory performance and annual availability of funding. On occasion, the PhD Program can also award one-time, non-renewable positions if funding is available. Students are invited to submit applications for consideration in The Design School and the School of Art, in the event that funding is available. This is also helpful if other departments within the Institute are looking for TAs.

Teaching Associateships need to conform to three specific criteria. These are:

- **Appropriateness of teaching assignment**: The teaching assignment must be appropriate with the aspirations of the PhD student’s future career plans in academe. In other words, there must be a suitable match between the student experience and career interests, in addition to an acceptable match of applicable course assignments.

- **Faculty mentoring**: Close and regular interaction between the PhD student and the faculty mentor is mandatory. Consequently, PhD students must be assigned to a faculty mentor. Ideally, it is with the mentor that the PhD student will undertake the teaching experience for the duration of the assistantship. In all circumstances the faculty mentor will need to provide a regular report on the student’s performance.

- Furthermore, the teaching experience needs to be characterized by a graduated level of student responsibility. For example, a first-year student may assist a professor in a large course through organization, grading, occasional lectures etc. A first-year student with special skills or experience may assist in a studio class working with both students and faculty. At all times, faculty mentoring is essential. By the second year there may be greater responsibilities on the part of the students—some students may be able to co-teach a small studio, for example. A second-year student may perhaps also receive mentoring in a course with the understanding that the student would teach that same course in their third-year assistantship.

**General support by the academic unit that hires the PhD student**: TAs should not be viewed as replacements for faculty in large or difficult courses. Neither should the TAs be assigned to
general, non-specific tasks related distantly to a valid teaching experience. In all cases equity in terms of student effort, time, and area of interest must be considered.

**Support for Travel**
Based on available resources, the PhD Program provides funding—up to $500 for travel within the USA and up to $700 for international travel—to PhD students who need financial support for travel. Normally travel funding is only provided for a conference where the student is presenting a paper or is directly involved in the conference in a way deemed important to his/her research. Students are strongly encouraged to seek matching funds from the Herberger Institute Student Enrichment Grants, Mini Travel Grants offered by the Graduate College as well as financial assistance from the Graduate Professional Student Association (GPSA). Please keep in mind that funding is limited to one award per fiscal year from the PhD Program and funding opportunities and amounts are contingent upon availability of resources.

**Mailboxes**
Due to space, only Ph.D. students who hold a TA or (RA) position will have a mailbox. The mailbox is located in DN 162. Students are responsible for cleaning it out at the end of the semester as all items may be thrown at that time.

**Course Line Numbers (CLN)**
Reading and Conference (R&C) courses (EPD690 and EPD790) are created by the student and the faculty member teaching the course. Each Reading and Conference course requires a separate schedule line number (SLN). CLN can be requested via the PhD website. In addition, separate CLNs will need to be created for each student’s Research (EPD 792) and Dissertation (EPD 799) courses. Continuing Registration courses (EPD 795) do not require the form.

Course Line Number Request forms are available on the PhD web site, and the form contains explicit instructions; if instructions are not properly followed, a delay could result in processing the student’s paperwork. All courses require approval of the instructor (email approval is acceptable), mentor (email approval is acceptable), and The Director of the PhD Program. The request must describe the content of the course and expected final outcome. The form with the instructor and mentor’s signature needs to be submitted to the Graduate Coordinator, which may be done electronically. The Graduate Coordinator will obtain the Director’s signature. Please allow five working days for processing once the Graduate Coordinator has received your completed form. Enrollment in the course cannot take place unless a CLN is assigned. The CLN will be communicated to the student via email; registration is the student's responsibility.

**MyASU**
The URL is my.asu.edu. Most of the business you conduct at ASU will be done through the MyASU system. You are able to register, check grades from previous semesters, and pay using this system.

**E-Mail Accounts**
Because most announcements and correspondence from the program are sent via e-mail, each student is required to set up and use their ASU e-mail account as soon as possible. It is important to check your ASU mail frequently and keep it clear. If you access your e-mail from an outside provider, please make sure that you redirect your ASU e-mail.

**Purpose of university e-mail**
ASU uses e-mail for communications within the university when appropriate as it delivers information in a convenient and timely manner. The University expects students, faculty, and staff to check their ASU e-mail regularly. These procedures are to encourage the appropriate use of ASU e-mail accounts and to communicate the significance of timely use of ASU e-mail. The ASU
Assignment of e-mail addresses
University e-mail addresses are available for all faculty, staff, and enrolled students. These addresses must be activated before the University can correspond with its students, faculty, and staff using the e-mail address. Please visit http://www.asu.edu/asurite to begin the process of creating an ASU e-mail address.

Students are required to obtain an ASU e-mail address once admitted to Arizona State University. This e-mail address is the official e-mail address to which the University will send e-mail communications and it will be recorded in the University’s electronic directories. Students may suppress their e-mail address from appearing in these directories by completing forms available at http://www.asu.edu/registrar/forms/eregforms.html.

Redirecting of e-mail addresses
If an individual wishes to have e-mail redirected from their @asu.edu address to another e-mail address (e.g., @hotmail.com, @aol.com, or an address on a departmental server), they may do so, but at their own risk. The University will not be responsible for the handling of e-mail by outside vendors or by departmental servers. Having e-mail redirected does not change the individual’s responsibility for reading and responding to official communications sent to his or her @asu.edu address. Information and warnings about forwarding are available on the website used to activate the e-mail address.

Expectation about use of e-mail addresses
ASU students, faculty, and staff are expected to check their e-mail on a frequent and consistent basis to stay current with University-related communications. Students, faculty and staff must recognize that certain communications are time-critical. 'I didn't check my e-mail,' “you send too many emails so I don’t pay attention to them,” “I deleted it,” error forwarding e-mail, or e-mail returned to the University with 'Mailbox Full' or 'User Unknown' are not acceptable excuses for missing University communication via e-mail. University business should be conducted through the @asu.edu e-mail addresses. Students using an ASU IMAP mailbox may check their mailbox size through myASU (https://my.asu.edu).

Educational uses of e-mail
Faculty may determine how e-mail will be used in their classes. It is highly recommended that if faculty members have e-mail requirements and expectations they specify these requirements in the class syllabus. Faculty who choose to utilize e-mail in their classes will expect students to use their @asu.edu e-mail address for all class e-mail communication. Faculty will have access to rosters of their class participants and their @asu.edu e-mail accounts.

Administrative uses of e-mail
ASU e-mail will be utilized by various ASU administrative offices to conduct ASU business with students. Examples of potential administrative uses are: Registrar Office notification to students any time electronic updates are made to a student’s academic record or schedule of classes; Institute academic advising office communication efforts with specific majors; Graduate College, Graduation Office, President’s Office, or DPS communication with students regarding emergency situations which may arise on campus; and student government notices.

Privacy
Users should exercise extreme caution in using e-mail to communicate confidential or sensitive matters, and should not assume that e-mail is private and/or confidential. It is especially important that users are careful to send messages only to the intended recipient(s). Particular care should be taken when using the ‘reply’ command during e-mail correspondence.

All use of e-mail will be consistent with local, state, and federal law, including the federal Family Educational Rights and Privacy Act of 1974 (FERPA). Visit http://students.asu.edu/policies/ferpa
for additional information regarding FERPA. Student ASU e-mail addresses are included in the University's definition of directory information and may be released upon request. It is a violation of University policies, including the Student Code of Conduct, for any user of official e-mail addresses to impersonate a University office, faculty/staff member, or student. To minimize this risk, some confidential information may be made available only through MyASU (http://my.asu.edu), which is password protected. In these cases students, faculty, and staff will receive e-mail correspondence directing them to the appropriate password protected environment where they can access the confidential information only by supplying their ASURITE UserID and password. The confidential information may not be available in the e-mail message.

ASU e-mail may be subject to disclosure under the Arizona Public Records law, or pursuant to a lawfully issued court order.

**Policies and Guidelines for Emails**

The Computer, Internet, and Electronic Communications policy governs the use of e-mail at ASU. Go to http://www.asu.edu/aad/manuals/acd/acd125.html for more information. Users should be aware of security risks associated with using e-mail, such as e-mail viruses, phishing, and other scams. For up to date information, go to https://getprotected.asu.edu/ and review Security 101. ASU scans all incoming and outgoing e-mail for viruses using up to date virus scanning software.

The E-mail Access Policy determines who at ASU may use e-mail.

ASU does not delete, reject or filter Spam e-mail. Users may opt-in to a Spam Filter service. For more information go to https://asu.secure.force.com/kb/articles/Informational/Spam-Filtering-at-ASU

**ASU Locations to check e-mail**

Students may use several computer center locations across the campuses to access their ASU e-mail. Please visit the following websites for assistance in locating computer sites: https://contact.asu.edu/

**Doctoral Student Academic File**

The PhD Program initiates an academic file for each doctoral student admitted to the PhD Program. This file contains materials such as, but not limited to, the student’s application material, copies of graduate reports, forms, correspondence, and memos dealing with the student’s academic progress. Each doctoral student’s file is accessible for review by the student. Occasionally, the Director of the PhD Program and the mentor will use the file in order to develop the academic program of the student. It is each student’s responsibility to see that materials are submitted and the file updated with the required forms for graduation.

**Student Addresses**

Local, permanent, and billing addresses are maintained for each student. It is extremely important that students notify the University by completing a change of address on the myASU website when their address changes. The PhD Program should also be kept informed of any changes of address.

**Express Mail and/or Special Delivery Charges**

The PhD program will not pay for Express Mail, Priority Mail, FedEx, or other special delivery charges when a student must send or receive materials to their committee members, Graduate College, or the PhD Program office. If it is necessary to send copies of comprehensive exams, prospectus, or dissertations, because the committee members are not on campus, it is the responsibility of the student to make arrangements for the delivery and pay the costs for such delivery. The PhD program will also not accept deliveries on behalf of students.
APPENDIX A

CORE COURSES

EPD 700    Interdisciplinary Research Methods
Introduction to the philosophy and methodology of interdisciplinary research in
design, environmental, and the arts.

EPD 710    Current Research
Review and critical evaluation of contemporary literature and method in architecture,
building science, interior design, industrial design, and landscape architecture.

Graduate Level Courses
The following directives should be followed when selecting courses:

• Students are expected to maintain a grade point average of 3.0 or higher throughout their
  program of study.

• Appropriate courses on the Plan of Study are courses at the 500-level and above. These
courses must be approved by the dissertation chair.

• Courses at the 400 level are not considered PhD-level courses. In certain cases, 400-level
coursework may be available in similar 500-level courses. Consult the academic unit offering
the course for options. Such arrangements must be approved by the student’s dissertation
chair and the Director of the PhD Program, and only a maximum of 6 credit hours of 400 level
credit can be used on the Plan of Study.

• Students are allowed to include only 6 credit hours of Readings-and-Conference courses on
  their program of study (3 credit hours of 690 Reading and Conference and 3 credit hours of
  790 Reading and Conference). Requests for Readings and Conference courses must be
  approved by the instructor, the dissertation chair, and the Director of the PhD Program.

• Only 6 credits of Research courses can be taken PRIOR to reaching candidacy

• Dissertation credit cannot be taken until the student has successfully completed the
  comprehensive exams and prospectus defense and has been admitted to candidacy.

• Course Line Numbers request forms (CLN) for Readings-and-Conference courses, Research
courses, and Dissertation courses are available on the forms web page on the PhD web site
and contain detailed instructions.

Other Requirements
Foreign language exam for a total of reading knowledge of two foreign languages as
demonstrated by exam administered by SILC (or equivalent) administered during the program, or
by a B or better in a reading course such as a 400-level or 500-level special topics course
(Example: ITA494 or FRE598 for reading knowledge). These credits will not count towards the
degree total unless taken at the 500 level or above and approved by the faculty mentor as a
concentration course.
CHECK SHEET – Post-Masters Program of Study

<table>
<thead>
<tr>
<th>Core Research Courses: 6 credit hours</th>
<th>Date</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>EPD 700 Interdisciplinary Research Methods</td>
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<tr>
<td>EPD 710 Current Research</td>
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</table>

**Areas of Concentration: 15 credit hours**

| Course 1* |       |       |
| Course 2* |       |       |
| Course 3* |       |       |
| Course 4* |       |       |
| Course 5* |       |       |

**Areas of Specialization: 9 credit hours**

| Course 1* |       |       |
| Course 2* |       |       |
| Course 3* |       |       |

**Research: 12 credit hours**

| EPD 792 Research** |       |       |
| EPD 792 Research** |       |       |

**Dissertation: 12 credit hours**

| EPD 799 Dissertation** |       |       |
| EPD 799 Dissertation** |       |       |

* Requires Mentor Approval and Sign off
** Requires the Course Line Request form
CHECK SHEET – Post-Baccalaureate Program of Study

<table>
<thead>
<tr>
<th>Master’s level coursework (30 credits min)*</th>
<th>Date</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

Core Research Courses: 6 credit hours
EPD 700 Interdisciplinary Research Methods
EPD 710 Current Research

Areas of Concentration: 15 credit hours
Course 1*
Course 2*
Course 3*
Course 4*
Course 5*

Areas of Specialization: 9 credit hours
Course 1*
Course 2*
Course 3*

Research: 12 credit hours
EPD 792 Research**
EPD 792 Research**

Dissertation: 12 credit hours
EPD 799 Dissertation**
EPD 799 Dissertation**

* Requires Mentor Approval and Sign off
**Requires the Course Line Request form
APPENDIX B

SELECTING A MENTOR, A COMMITTEE CHAIR, AND COMMITTEE MEMBERS

What is a Mentor?
A mentor is a member of the Core Faculty of the PhD Program and serves as an advisor to the PhD student. If qualified, a mentor can become the Chair of a student’s dissertation committee, but is not required to do so. See below.

Who are members of the Core Faculty in the PhD Program?
Members of the Core Faculty are qualified to teach in the PhD Program, to be chairs and members of a student’s dissertation committee, and to assist and advise PhD students. A list of the Core Faculty in the PhD Program in Design, Environment, and the Arts can be found on the PhD website.

What is a Committee Chair?
Once approved by the Graduate College, core faculty members qualify for committee chair status (i.e., they can chair a dissertation committee):
1. The core faculty member has experience in supervising research of graduate students (master's and PhD levels) and has a record of serving as a member of dissertation committees.
2. The core faculty member has an acceptable record of advancing scholarly knowledge, as indicated by a publication and/or creative activity record and national recognition in the respective discipline.

The curriculum vitae of core faculty members are reviewed every three years by the Graduate College to verify that they still meet the criteria for core faculty status.

Non-Core Faculty
Not all faculty members in the Herberger Institute are included in the Core Faculty of the PhD Program. However, most of them can serve on a student’s dissertation committee. Exceptionally, they may also serve as a co-chair with a member of the Core Faculty with the approval of the PhD Executive Committee and the Dean of the Graduate College.

Changing Chair or Committee Members
If a student wishes to change a Chair, a co-Chair, or members of the dissertation committee, s/he must first contact the Director of the PhD Program. It should be noted that all changes to the dissertation committee must be approved by the Chair of the dissertation committee and the Director of the PhD Program. If the Plan of Study has already been filed with the Graduate College, a change to the POS must be completed and submitted to the Graduate Coordinator for approval at the academic unit level. This is done using the myASU system. It is the responsibility of the student to demonstrate proof that the new committee members have agreed to serve and that the Chair has agreed to this change. This may be done via an email to the Graduate Coordinator from the faculty members’ ASU email account.
APPENDIX C

PLAN OF STUDY (POS)
The PhD in Design, Environment, and the Arts is structured as a 54-semester-hour post-master’s program, or as an 84-semester-hour post-baccalaureate program. The PhD Program allows for a blanket of 30 credits from the master’s degree to be applied towards the 84 credit hours. Post-baccalaureate students must complete an additional 30 credit hours at the master’s level prior to completing additional PhD requirements resulting in 84 credit hours. Students may have an additional 12 non-degree credit hours taken as a graduate student used towards the required total of 84 credit hours. At least 30 hours of coursework, in addition to a minimum of 24 hours of research and dissertation credit, must be completed after admission to the PhD program at ASU, depending on entry status.

All courses used towards meeting degree requirements must appear on an approved Plan of Study (POS). The date on the Graduate College’s admission letter is the actual date of admission. If the student is enrolled in courses on the admission date, those courses—if applicable—may be considered part of a Plan of Study. Each student entering the PhD program is required to submit a Plan of Study no later than the end of the second semester. If the POS is not submitted by this deadline, a registration hold will be imposed until the POS has been successfully submitted. Students are required to meet with the coordinator each semester to be cleared for advising until the POS is filed.

It is the student’s responsibility to ensure the accuracy of the POS. Changes can be made to the POS once it has been approved by the PhD Program, Graduation Office, and Graduate College through the MyASU system. The chair will need to approve any changes to the POS, which can be done via the ASU email. The POS must be accurate in order to graduate.

With the approval of the Director of the PhD Program, the student selects a dissertation committee composed of a minimum of three faculty members from the areas of concentration. This committee includes a prospective mentor, who is responsible for approving the student’s Plan of Study and monitoring the student’s academic progress in the program.

<table>
<thead>
<tr>
<th>Post-Master’s Program</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>EPD 700: Interdisciplinary Research Methods</td>
<td>3 hours</td>
</tr>
<tr>
<td>EPD 710: Current Research Seminar</td>
<td>3 hours</td>
</tr>
<tr>
<td>Areas of Concentration</td>
<td>15 hours</td>
</tr>
<tr>
<td>Other Areas of Specialization</td>
<td>9 hours</td>
</tr>
<tr>
<td>Research</td>
<td>12 hours</td>
</tr>
<tr>
<td>Dissertation</td>
<td>12 hours</td>
</tr>
<tr>
<td>Total</td>
<td>54 hours</td>
</tr>
</tbody>
</table>
**Post-Baccalaureate Program**

<table>
<thead>
<tr>
<th>Course</th>
<th>Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Master’s level coursework</td>
<td>30</td>
</tr>
<tr>
<td>EPD 700: Interdisciplinary Research Methods</td>
<td>3</td>
</tr>
<tr>
<td>EPD 710: Current Research Seminar</td>
<td>3</td>
</tr>
<tr>
<td>Areas of Concentration</td>
<td>15</td>
</tr>
<tr>
<td>Other Areas of Specialization</td>
<td>9</td>
</tr>
<tr>
<td>Research</td>
<td>12</td>
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<tr>
<td>Dissertation</td>
<td>12</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>84</td>
</tr>
</tbody>
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For detailed instructions on how to submit your plan of study please go to [https://graduate.asu.edu/plan-of-study](https://graduate.asu.edu/plan-of-study).
COMPREHENSIVE EXAMINATIONS

Upon completion of course work in the PhD Program of Study, but prior to admission to candidacy and the start of dissertation research, the student must take a written examination on his or her knowledge of the chosen area of concentration and interdisciplinary knowledge; including the ability to communicate across disciplines. This is called the Comprehensive Examination, which entails the combining of a written examination followed by an oral defense. The comprehensive exams must be taken no later than the end of the fifth semester in the program. Failure in the comprehensive examination is considered final; unless the supervisory committee and the Director of the program recommend—and the Dean of the Graduate College approve—a reexamination. A reexamination may be administered no sooner than three months and no later than one year from the date of the original examination. Only one reexamination is permitted. If a reexamination is not permitted, then the student has not made satisfactory academic progress and may be recommended for dismissal from the program.

Should a student encounter unforeseen circumstances (i.e., chair has left the university), an extension past the fifth semester to complete the comprehensive exams can be granted. A student would need to complete a Standards Petition form found on the Herberger Institute for Design and the Arts website and submit it to the Graduate Coordinator for review by the Director. The Graduate Coordinator will notify the student via email of the decision on the petition. Typically, if an extension is warranted, it will be granted for one semester while the student finds another chair. Should the conditions of the extension not be met, the student may be considered as not meeting academic satisfactory progress and recommended to the Graduate College for dismissal.

Comprehensive Written Examination

The PhD comprehensive examination is designed to show that the PhD student has the abilities necessary to function successfully as an independent scholar of Design, Environment, and the Arts. Three classes of abilities are necessary for such success: (1) broad knowledge of the field; (2) specialized knowledge of a chosen concentration; and (3) expert knowledge about a specific Design, Environment, and the Arts phenomenon.

The first two abilities—broad knowledge of the field and specialized knowledge of a chosen concentration—result from a course of study that culminates in PhD coursework, and becomes the subject of the qualifying examinations. Expert knowledge about a specific phenomenon in Design, Environment, and the Arts is demonstrated in the student’s dissertation. It is not an explicit concern in the comprehensive examination.

Criteria for the Comprehensive Written Examination

The successful scholar needs a broad-based, on-demand, encyclopedic knowledge of basic issues in the study of Design or History, Theory, and Criticism. Basic issues include the main theories, methods, literature, philosophies, concepts, and phenomena important in contemporary scholarship.

Rationale for the Comprehensive Written Examination

This knowledge serves students by (1) enabling them to draw on scholarship outside their own areas of concentration, which capitalizes on the eclecticism of the field and facilities integration of diverse perspectives; (2) enhancing their chances for success on the job market; and (3) making them more effective at representing the field to non-members.

Procedure for the Comprehensive Written Examination

Because of the broad-based nature of this part of the examination, students have a need for guidance from their committee on preparation. This does not mean that students should be given
questions in advance; rather, students should discuss the above criteria with their committees to get guidance on the kinds of knowledge for which they will be held responsible. The intent of this discussion is to guide their study and help them recognize areas where they may need independent study and/or review of subjects that may be outside the formal scope of their coursework. Therefore, this discussion should begin in earnest as soon as possible after committees are formed and continue throughout student’s courses of study.

Normally, the actual examination consists of a set of questions, prepared by the student’s committee, and designed to test for competence on the criteria listed above. It is the student’s responsibility to schedule the exam and coordinate the schedules of committee members for the oral examination as well as the room reservation. The examination is computer-facilitated and to be completed within five 8-hour periods. By 5:00 pm of each day, the student will submit an electronic copy of the answers to the PhD Graduate Coordinator. The final answers need to be submitted by 5:00 pm of the fifth day to the PhD Graduate Coordinator as well as to the Director of the PhD Program. The PhD Graduate Coordinator will then disseminate the exam to the committee. Work complete prior to the final submission is shared with the committee only upon their request.

Exceptionally, the format for the comprehensive examination may be altered from the aforementioned description. The decision for a modification resides with the chair and the members of the student’s committee and must be approved by the Director of the PhD Program.

Evaluation of the Comprehensive Written Examination
The criteria for this part of the examination encompass knowledge that has been gained over the course of the student’s academic career, which may include issues not covered in PhD course work per se. For this reason, the portion of the examination should test for basic competence in discussing the central issues of the student’s concentration, and the ability to communicate across the disciplines. Each answer should be evaluated in terms of whether it is a product the committee would expect from a competent junior scholar who is writing on a subject that is not necessarily in his/her own area of concentration.

Deadline for Comprehensive Written Examination
The student is expected to take the comprehensive examination no later than the end of the fifth semester of enrollment. Failure to do so, without an approved petition for an extension, indicates that the student is not making satisfactory academic progress and may be recommended to the Graduate College for dismissal from the PhD program.

Scheduling the Comprehensive Examination
The following steps are required when scheduling a written comprehensive examination:
1. Each member of the student’s dissertation committee prepares several written comprehensive questions. Questions may be solicited from other faculty members if deemed necessary by the dissertation committee. These questions are not shared with the student.
2. Under the guidance of the chair, the dissertation committee agrees on an appropriate set of questions for the written examination and the format of the exam (i.e., a question a day or all questions at once).
3. The committee chair submits written comprehensive questions to the PhD Graduate Coordinator for administration of the written examination (deadline is five workings days prior to scheduled exam).
4. The Comprehensive Written Examination normally is scheduled for five consecutive days (Monday to Friday) at a predetermined time convenient to the chair and the student and approved by the Director of the PhD Program.
5. The PhD Graduate Coordinator will administer the exam. The student will submit the day’s work to the PhD Graduate Coordinator unless otherwise specified. Daily work will not be distributed to the committee. The PhD Graduate Coordinator will submit the final answers to the committee.
Grading the Written Comprehensive Examination
The following conditions apply for the grading the written comprehensive examination:
1. The scoring of the written comprehensive examination will be based on a Pass/Fail grade system for the individual questions.
2. Grades for the individual questions provide the basis for the discussion by the student’s dissertation committee for an overall grade for the comprehensive written examination. A passing examination will exhibit a consistent record of passing scores for each of the individual questions.
3. The members of the examination committee will be given 10 working days to grade their individual examination questions and to schedule an oral defense of the exam by the student.

The Oral Defense of the Written Comprehensive Examination
The purpose of the oral examination is to allow the opportunity for a student to expand and/or clarify answers on the written portion of the examination and to provide an in-depth evaluation of the student’s ability to reason in response to questions related to the student’s area of concentration.

1. The chair of the dissertation committee and student must agree upon a time to schedule the oral defense. The student is responsible for securing a room and any media equipment necessary. The student is responsible for ensuring that all committee members are present at the oral defense. The defense must occur on an ASU campus during normal business working hours.
2. It is the student’s responsibility to print out the Report of Doctoral Comprehensive Exams form from the Graduate College website and bring it to the oral defense.
3. After the oral defense, the student is to bring the signed Report of Doctoral Comprehensive Exam form to the PhD Graduate Coordinator for the PhD Director’s signature. The PhD Graduate Coordinator will then place a copy of the form into the student’s departmental academic file and will forward the form to the Graduate College.
4. The oral defense must occur within two weeks after the completion of the written comprehensive examination. If the oral examination is not held within two weeks of the written examination, and a petition for an extension has not been granted, then the student is not making satisfactory academic progress and may be recommended for dismissal from the PhD program.

Grading the Oral Defense:
The dissertation committee makes an overall evaluation of the written and oral exam as Pass or Fail. The final result is based on a majority vote. Failure of the comprehensive exam is considered to not be making satisfactory academic progress, and thus a student who fails one or both components of the examination may be recommended for dismissal from the PhD program.

Once the comprehensive exam has been passed, the student then has five years to complete the dissertation per the Graduate College policy. Additional information regarding the policy can be found on the Graduate College website at: https://graduate.asu.edu/key-policies

Notification of Results: The dissertation committee forwards their recommendation to the Director of the PhD Program (Part IV). The Director will notify the student of the oral defense results by mail. A copy of the letter will be included in the student’s program file.

Retake of the Written Exam: According to Graduate College rules, failure of the written comprehensive examination is considered final unless the dissertation committee and the Director of the PhD program recommend, and the Dean of the Graduate College approve, a reexamination. A reexamination may be administered no sooner than three months and no later than one year after the original examination. Only one reexamination is permitted. If a student fails the examination again, then s/he will be automatically recommended for dismissal from the PhD program for not making satisfactory academic progress.
APPENDIX E

DEFENSE OF DISSERTATION PROSPECTUS

The dissertation prospectus—more commonly known as the dissertation proposal—must be successfully defended within two semesters following the semester in which the comprehensive exam was successfully completed but cannot be defended on the same day as the oral defense of the comprehensive examination. The following conditions apply:

1. The prospectus for dissertation research must be prepared in consultation with the dissertation committee and under direct guidance of the chair of the committee.
2. The dissertation prospectus should be in prose, typewritten, minimally not less than 20 double-spaced pages in length, exclusive of references.
3. An outline applicable to most dissertation topics would include:
   - A title page.
   - An introductory statement to give an overview of the content of the research problem.
   - A survey of relevant literature that includes a brief section defining terms and concepts involved in the problem.
   - A detailed and explicit statement of the research problem(s) selected.
   - A review of actual and/or potential data sources and an evaluation of their quality.
   - An explicit description of the hypotheses to be tested.
   - A brief discussion of the methodological approaches (including alternatives) applicable to the proposed research problem.
   - Decision-making criteria for acceptance or rejection of the hypotheses.
   - A concise statement specifying probable results or likely alternative outcomes.
   - A preliminary outline, to be regarded as a projected Table of Contents.
   - An extensive bibliography showing:
     a) Material studied in the course of prospectus formulation; and
     b) Pertinent sources for future study.
4. The draft prospectus is submitted to the chair of the dissertation committee. The chair should return comments to the student within two weeks.
5. A draft of the prospectus must be approved by the chair of the committee prior to its circulation to the rest of the committee. Frequently the chair will review more than one draft before approving a prospectus for distribution.
6. Once approved by the Chair, the draft is circulated to all members of the student’s committee for comment.
   - Copies of the committee member’s comments to the student should be provided by the committee members to the chair of the committee as well as to the student.
   - The committee members should return comments to the student within two weeks.
   - Revisions by the student are usually required.
7. A defense is scheduled once the committee agrees that the prospectus is ready to defend.
8. It is the student’s responsibility to schedule a defense date and to reserve a location, both of which must be acceptable to the committee. It is also the student’s responsibility to reserve any and all media equipment necessary. The student must also notify the PhD Graduate Coordinator.
9. A final draft of the dissertation prospectus must be distributed to the committee at least 10 working days prior to the scheduled defense.
10. On the appointed date, the student defends the dissertation prospectus before the committee. It is the student’s responsibility to ensure the presence of all committee members at the defense. The defense must occur on an ASU campus during normal business working hours.
11. It is the student’s responsibility to print the Results of the Doctoral Dissertation Proposal/Prospectus form from the Graduate College website and bring to the defense. It is also the student’s responsibility to submit the form to the PhD Graduate Coordinator. The PhD Graduate Coordinator will obtain the Director’s signature and forward it on to the Graduate College.
Grading of the Prospectus
The dissertation prospectus is assigned a pass/fail grade similar to the Comprehensive Exam. The prospectus does not have the option to be passed with revisions (i.e., minor or major). Although it is customary for changes to be made after a defense, the committee should not pass the prospectus until all changes are made to the prospectus document to the committee’s satisfaction. The student has ten business working days in order to make these changes otherwise the document receives a failure.

Re-defense of the Dissertation Prospectus: According to Graduate College rules, failure of the dissertation prospectus is considered final unless the dissertation committee and the Director of the PhD program recommend, and the Dean of the Graduate College approve, a re-defense. A re-defense may be administered no sooner than three months and no later than one year after the original defense. Only one re-defense is permitted. If a student fails the defense again, then s/he will be automatically recommended for dismissal from the PhD program for not making satisfactory academic progress.

Candidacy
A student must have successfully passed the Comprehensive Examination and have an approved Plan of Study on file before s/he can be advanced to candidacy. The student is advised by mail, once s/he has been admitted to candidacy by the Graduate College.

A student must enroll for a minimum of six hours of EPD 792 Research and 12 hours of EPD 799 Dissertation credit (18 combined) after being admitted to candidacy. This allows for enrollment in a maximum of six hours of EPD 792 Research prior to being admitted to candidacy.

The student must take the final oral examination in defense of the dissertation within five years after passing the comprehensive examination. Any exception must be approved by the committee and the Dean of the Graduate Institute, and normally involves repetition of the comprehensive examination.

Candidacy Process Check List
The candidacy process check list is provided for your use as you prepare for your comprehensive examination and dissertation prospectus. The PhD program office will also use this list to record your progress through the admission to candidacy process. The check list can be found on the PhD website.
APPENDIX F

DISSERTATION
Following the semester in which they are admitted to candidacy, students must enroll for a minimum of six (6) hours of EPD 792 Research and 12 hours of EPD 799 dissertation credit (18 combined) in order to complete degree requirements. This registration requirement does not need to be met in one semester; a maximum of six (6) hours of EPD 792 Research prior to being admitted to candidacy is permitted.

The dissertation is a fully documented written analysis of a problem that is original in nature and extends the knowledge and/or theoretical framework of the field. The original research must demonstrate the student’s creativity and competence in independent research.

Every candidate must submit a final copy of the dissertation for review by the committee; it is customary for students to have multiple drafts before a final draft is approved to defend by the committee. Upon approval by the committee, and at least ten working days before the defense, the final approved copy is submitted to the Graduate College for format review and scheduling of the defense with the Graduate College. At least fifteen working days prior to the defense, the student must submit the Scheduling Defense Form to the PhD Graduate Coordinator along with a 100-word abstract of the dissertation in order to reserve a room and schedule defense with the PhD program.

It is the student’s responsibility to ensure that the time and date of the defense is coordinated with all of the committee members and that all members will be present. The defense must occur on an ASU campus and must be during regular business working hours.

The APA style is the approved format for dissertations in the PhD Program. The Format Manual is also available online at http://graduate.asu.edu/formatmanual. The PhD Program recommends that students attend a Dissertation Workshop presented by the Graduate College.

Dissertation Outline
A dissertation must adhere to the ASU style format. The following is a generic outline of the format. It is not meant to be inclusive of all material that would be included with your work; rather it is a model to work from and expand for your own use.

I. Title Page
II. Approval Sheet
III. Acknowledgments
IV. Abstract
V. Table of Contents
VI. List of Tables
VII. List of Figures
VIII. Chapter One - Introduction
  a. Overview
  b. Statement of the problem and identification of study variables
  c. Significance of the problem (potential findings/importance/need for the study)
  d. Research hypotheses (or objectives or questions)
  e. Definitions
  f. Assumptions and limitations of the research
  g. Research justification (from key literature; could also lead to a theoretical framework for the study)
  h. Organization of the dissertation
IX. Chapter Two - Review of Literature
  a. Introduction
b. Framework for literature review
c. Sub-section I
d. Sub-section II
e. Sub-section III
f. Sub-section IV
g. Summary

X. Chapter III - Methods
   a. Determination of research design
   b. Research design (including operational definitions)
   c. Data collection

XI. Chapter IV - Data Analysis and Results
   a. Demographics of the population
   b. Testing of hypotheses (sub-section on each one)
   c. Validity within the study (if appropriate for operational definitions)
   d. Reliability (if appropriate for your study)
   e. Summary

XII. Chapter V - Summary, Conclusions, and Recommendations
   a. Summary
   b. Conclusions
   c. Recommendations
   d. Implications and limits of generalizability of findings

XIII. References

XIV. Appendices

XV. Vita (optional)

Dissertation Preparation and Defense
The following list provides the steps that should be followed to complete the dissertation in a reasonable time period once admitted to candidacy, and in a time frame that is before the graduation deadline as determined by the Graduate College. The list assumes that the student has appointed a dissertation committee.
1. First draft of prospectus reviewed by mentor (make adjustments if necessary)
2. Approved draft of prospectus reviewed by mentor (make adjustments if necessary)
3. Obtain Institutional Review Board (IRB)* approval for human subjects research (if applicable)
   *Information about IRB can be found at https://researchadmin.asu.edu/
4. Research available statistical help (if applicable)
5. Inclusion of suggestions from doctoral program committee and mentor in prospectus (review & approval by Mentor)
6. Design of survey review for statistical data collection and analysis (if applicable)
7. Sign-off of revised dissertation prospectus by the student’s Dissertation Committee
8. Beginning of Dissertation (not inclusive)
   a. Pilot Study
   b. Trial Coding and Analysis
   c. Adjustments in Study Procedure, Approved by Mentor/Doctoral Program Committee
   d. Collect Data
   e. Statistical Data Analysis and Consultation
   f. Graphic Analysis
   g. Written Interpretation of Finding
9. Progress meeting/design review with mentor/doctoral program committee
10. Completion of dissertation study
11. Progress meetings on the development of the written portion/chapters or the method of documentation of the dissertation with mentor
12. Rough draft of dissertation (in correct format)
13. First review of draft of the dissertation by mentor
14. First review of draft with the Committee
15. Inclusion of mentor and Committee recommendations
16. Mentor and Committee review and official approval sign off
17. File for graduation with Graduation Office
18. Second draft of dissertation by mentor (revisions made)
19. Second draft reviewed by Committee for discussion and changes
20. Inclusion of suggestions for final dissertation draft
21. Final draft of the dissertation and documentation complete
22. Formal approval of document by mentor
23. Mentor approval of changes and format
24. Format review of dissertation by Graduate College
25. Arrange for final oral examination (15 working days before defense)
26. Final copy of the dissertation to the Committee
27. Oral Defense - schedule meeting time, room, and media equipment; notify the Graduate Coordinator at least 15 working days prior to the defense with an abstract to be posted.
28. Corrections made as specified by the Committee at the time of the oral defense
29. Final approvals
30. Submitted to ProQuest electronically.
31. Graduation
APPENDIX G

FINAL EXAMINATIONS
A final oral examination in defense of the dissertation is required. A candidate must pass the final examination prior to the graduation date determined by the Graduation Office on the letter admitting the student to candidacy. Per ASU policy, defenses must be held at the ASU campus. Room reservations must be scheduled using the Schedule a Defense form and submitted to the PhD Graduate Coordinator.

The student must complete the Dissertation Defense Announcement, obtained from the PhD Graduate Coordinator. This form must be submitted to the PhD Graduate Coordinator of the defense at least 15 working days before the defense. A 100-word abstract must also be provided to the PhD Graduate Coordinator at the time of scheduling of the defense.

If a defense has to be scheduled during the summer, students need to ensure that all committee members are available for the defense. The program will not pay for express mail, FedEx, priority mail, etc., to send dissertation copies and/or revisions to committee members who are not available to receive such documents in person. It is the student’s responsibility to ensure that all documents are turned in on time. The PhD program will also not accept mail on the behalf of students. The PhD Program will also not pay for video or teleconferencing materials or technology as it is the student’s responsibility.

Students must be registered for at least one credit hour at the time of their defense. Students may register for EDP 795: Continuing Registration for one credit hour in order to meet the registration requirement. Students who do not meet the graduation deadlines as set forth by the Graduate College, but still defend in the current semester, must register for the immediate next semester and will be considered a graduate in that semester (i.e., miss spring graduation deadline, must register for first summer session and considered a summer graduate).

Dissertation Revisions: Per the Graduate College policy, effective fall 2004, in the event that a student is not able to complete their revisions and submit their finished document by the deadline, s/he will only be allowed a one-semester extension to do so. This allows the student to make the changes to the dissertation as recommended by their committee. During this one-semester extension, the student will be required to register for one (1) hour of EPD 795, Continuing Registration. The EPD 795 course carries no credit and requires no grade. If the student is unable to complete the required revisions in the allowed time frame, the student will be considered to not be making satisfactory academic progress and may be recommended for dismissal from the program.
APPENDIX H

HELPFUL HINTS AND STEPS TO SUCCESSFULLY COMPLETING A DISSERTATION

1. Select a topic near the beginning of your Ph.D. program. By doing this, you will be able to tailor your coursework to be something that will help with the dissertation.

2. Select a chair for your supervisory committee early in the process. Make sure you have similar research interests, philosophies, and outlooks with this person. Make sure you also respect the person as an academic and individual. This is especially paramount, because you will be working closely with this academic professional.

3. Select a committee. If you are unsure about committee members, speak with your chair. It is imperative that your committee members work well together.

4. Tailor your courses to work in conjunction with your topic.

5. Once you are finished with coursework, you typically will start your comprehensive exams.

6. At the end of your second semester, you should file your Program of Study (POS). The POS is filled electronically using the myASU website, and is a contract that shows the courses you’ve taken along with the courses necessary to complete the degree. This document serves as a contract between the student, committee, program, and university regarding graduation requirements. If there are errors on the POS (i.e., courses listed but not taken), the student will not be able to graduate.

7. Pass your comprehensive exams. There is a form that you need to complete when you do the oral defense of your comprehensive exams. This form you can find on the Graduate College website and is called “Report of Doctoral Comprehensive Exams.”

8. While you are still completing coursework, you should work on your dissertation prospectus (the first three chapters: introduction, literature review, methodology). Ideally, many of the papers that you have written for your coursework will lend themselves nicely into fitting into the dissertation. Once you are ready to defend your dissertation prospectus, you’ll need to submit the “Report of Doctoral Prospectus” form for your committee to sign off on before you take it to the Graduate College and provide your academic department with a copy for your student file.

9. Advancing to Candidacy occurs when the following criteria have been met: POS has been approved, comprehensive exams have been passed, and dissertation prospectus has been approved.

10. Once you are ready to work on the dissertation, create a time line and stick to it. This website generates a timeline for you based on your start date and your target completion date: http://www.lib.umn.edu/help/disscalc/

11. If you are collecting your own data, you will most likely need to have approval from the Institutional Review Board (IRB) at ASU. Information regarding IRB can be found at http://researchintegrity.asu.edu/humans

12. The chair of your committee would serve as the principal investigator and you would need the Director of the PhD Program to sign as well. You will also need to complete and submit a copy of your National Institute for Health certificate with your IRB application. You cannot collect data until you have IRB approval.

13. As you write the dissertation, it is helpful to have it formatted to the Graduate College requirements as you work. This may be a painful process in the beginning, but will help to save some time and headaches later. The Graduate College has a format manual available in the Interdisciplinary (formerly Admin B) wing room 170 or you can download it from their website at https://graduate.asu.edu/completing-your-degree

14. It is often helpful to hire an editor to review your work as you progress towards the final draft. Editors can be expensive, but well worth it as you become so close with the work, you may not necessarily see spelling, grammatical, or other errors. Editors can also help with reference checks and formatting. Often, the Graduate College will have a list of editors.
Sometimes other graduate students across the campus can be a good resource. The PhD Graduate Coordinator may also have some suggestions.

15. When your chair says that you are ready to defend, or you think you’re ready, you will need some forms from the Graduate College. You will need the Doctoral Defense Schedule form, Format Approval Sheet, and Survey of Earned doctorates. These forms should accompany you when you meet with your chair. The forms are available through MyASU. You should also try to schedule it informally with your committee members as their calendars often become quite full. Your chair will tell you when to submit your final draft to the rest of your committee. Then, prepare your presentation for the defense. Remember to schedule a room as well. You will also need to provide the PhD Graduate Coordinator with a Request to Schedule a Defense form at least 15 working days prior to your defense in order to schedule your defense with the Institute.

16. Make sure you pay attention to Graduation deadlines and the 10 working day rule to submit your dissertation to formatting. You can find this information on the Graduate College website at https://graduate.asu.edu/completing-your-degree. You will also need to file for graduation. The first step is to pay for graduation at the Cashiering Services window in the Student Services Building on the second floor. Then, you take your receipt to the Graduation Office located in the Registrar’s office. You will have to fill out a form that Cashiering Services will provide you with before you can proceed to the Graduation Office. If there is no line, this process can take usually 30-45 minutes. You may also file for graduation on line. You’ll receive information regarding the Graduation Fair at the bookstore. You’ll need to buy your cap and gown there. At the days of the Graduation Fair there is a discount on the caps, gowns, announcements, and diploma cases. There is also a photographer taking cap-and-gown pictures.

17. Check the Herberger Institute for Design and the Arts website for convocation information and submit your RSVP for graduation. Convocation information can be found at http://herbergerinstitute.asu.edu/students/grad/graduation/ if you also plan on participating in the university’s Commencement, you’ll need to submit the Doctoral Candidate Participation Form found at http://graduate.asu.edu/forms/index.html Commencement information can be found at https://graduation.asu.edu/. If you plan on participating in Commencement, and family or friends are not able to attend, they can also view the ceremony live on line at https://graduation.asu.edu/mobile-app

18. A week before the defense, email your committee to confirm that they have your date on the calendar and that they will be able to make it. Make sure your reserve any media equipment that you might need (i.e., laptop, projector). Decide on your wardrobe for the defense. Business professional attire (i.e. suit) is appropriate.

19. Meet with your chair to review your presentation and materials (i.e., handouts) a few days to a week before the date. Make sure you ask if there is anything specific the chair would like to you cover in the presentation and what is the protocol for the defense.

20. Defenses typically follow this protocol: you present for 20-25 minutes on the dissertation, questions from the committee (typically about an hour), questions from the audience, removal of everyone in the room (including you) to allow the committee to deliberate, your chair comes out and announces that you’ve passed (your chair will not let you defend if you are not ready), you can’t believe that you actually passed and go back into the room to meet with the committee and chair to discuss revisions (almost everyone has them) and they sign your pass/fail form, and then you faint because you still can’t believe you passed.

21. After your defense, you have ten working days to submit your pass/fail form to the Graduate College for the dean’s signature. Either your chair or the PhD Graduate Coordinator will hold on to your final pass/fail form for the final signature from the chair indicating that you have completed all of the revisions. The latent consequence of this is that all revisions must be done and approved by your chair in 10 working days. If you work a full or part time job, requesting some time off to complete and focus on your revisions, as well as recuperate, is always beneficial and a great idea. You will be mentally tired after the defense.

22. Once you have completed all revisions and obtained your chair’s signature, you must bring the form to the PhD Graduate Coordinator for the Director’s signature and then take the form to the Graduate College office located in Admin B room 170. Then you can upload your
document to ProQuest via MyASU. This is the final and most important step. Do something you enjoy. You've just become a doctor. You've now entered the realm of having your life back. Congratulations, it's a weird, but wonderful feeling.

Random helpful hints/things to be aware:
- Although the focus of the process has been getting to the dissertation defense, there can be additional stress after you defend.
- Editing can be expensive, but it is well worth it.
- Remember to do things that you still enjoy. It will help keep you sane.
- You will be emotional, tired, stressed, etc. during this process. It's normal.
- The process of earning a PhD is a complex yet very rewarding process, with fewer than 2% of the population receiving a Ph.D.
- Your chair is not out to get you and will come through when you need him/her to do so.
- Use the resources that you have on campus to your advantage.
- A good dissertation is a done dissertation. Now is not the time to be a perfectionist.
- Present your dissertation topic and research at professional conferences. This is a good way to receive feedback and anticipate questions regarding your study.